



**State of Utah**

OLENE S. WALKER  
*Governor*

GAYLE McKEACHNIE  
*Lieutenant Governor*

Administrative Services  
S. CAMILLE ANTHONY  
*Executive Director*

Purchasing and General Services  
DOUGLAS RICHINS  
*Division Director*

**February 23, 2004**

**\*\*\* ADDENDUM \*\*\* ADDENDUM \*\*\* ADDENDUM \*\*\***

**SOLICITATION: GM4049**  
**DUE DATE: 03/02/04**  
**TIME: 3:00 P.M.**

**DESCRIPTION: Multi-Step Bid for an Electronic Document Storage and Management System for the Utah Department of Corrections**

**ADDENDUM #1**

**The following are to be added to the specifications/requirements for this proposal:**

1. The following questions were received relative to this BID and the corresponding answers are given.
2. The due date and time remain unchanged.
3. With RFP process questions contact Glendon Mitchell at 801-538-3138.

\*\*\*\*\*END OF ADDENDUM\*\*\*\*\*

To acknowledge receipt of addendum, include a copy of this addendum with the bid submittal or give written acknowledgment with the bid. It shall be the responsibility of the respondent to appropriately disseminate this information to all concerned prior to the assigned due date and time.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Company

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



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#### Question 001:

Is there a proposed time-line and project milestones other than the due date for the proposals? ie. Status notifications to vendors, presentations to short list of vendors, Contract negotiations, Final selection date, project start date?

#### Answer:

No time-line behind what is published has been set at this time. It is hoped that the project will be completed by July 1, 2004

#### Question 002:

To what extent will other related functions and features of a FULL document content management solutions be considered if they are inherent in the solution and it is no additional cost, implementation or cause disruption to the user and administration community?

#### Answer:

The functions and features listed in the bid are only a baseline of needed functions. At this time, the bid will be based mainly on the functions and features requested in the document, along with the price. If the bidder's product has more functions and features included, it will be reviewed by the bid reviewing team.

#### Question 003:

What is the total amount of data being stored on the server(s) today?

One million tiffs on CD-W disks.

#### Question 004:

How many servers are being used for this document management today?

One jukebox with two drives, attached to one server.

There is one other server, a Novell server with a few hundred small Microsoft word type documents.

#### Question 005:

The server(s) required for this project, do they have to be a Compaq or Dell brand, or can they be a white-box solution, meaning a servers our company builds using quality components?

We would prefer either an HP-Compaq or HP-UX type server. However, the bid does not limit anyone to this type of equipment. If two bids are real close on all points, then the type of hardware will be taken into consideration. Remember to detail all of the components of the bid by line item.

#### Question 006:

Do documents being scanned require OCR (Optical Character Recognition) support to support full-text searching or is searching limited to index data?

Yes, many of the documents will need OCR support.



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#### Question 007:

If the response to question 1 is affirmative, please provide the following information:

- a Name, version and manufacturer of the database used by the legacy optical document storage system.
- b Whether or not the database is ODBC compliant.
- c Whether or not the database features an OLEDB provider.
- d Specific format of image files (i.e., Group IV TIFF)
- e Name, version and model of the device on which images are stored
- f Type and size of storage media

#### Definition of old legacy system:

##### SOFTWARE:

OS: HP-UX 10.20

Informix Online optical 5.10

Plexus Storage Manager 3.1

OpenDox Viewer

##### HARDWARE:

HP G040

HP FX200 Optical Platter System

80 slots

2 x 1.3 gig CD worm Disks

##### CURRENT CAPACITY, APPROXIMATELY:

42 Disks

60 to 80 Gigs of data

One million files

Growth of 4 to 7 Mg per week

#### Question 008:

If the response to question 1 is negative, what should be used as a basis for estimating the cost of conversion?

This question does not apply; we will give out the information.

#### Question 009:

The due date is listed as March 02, 2004. Will it be extended?

There is no plan at this time to change any of the dates involved with this bid.

#### Question 010:

Has the state had a consultant or private company assisting with the development of the invitation? If so, who? And will they be allowed to bid on this response?

No, there has been no consultant or private company assisting with this. The committee, made up of all state employees, did interview a number of vendors to learn about electronic-document storage and management systems.



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#### Question 011:

On Page 6 of the invitation under the section titled "Detailed Scope of Work", there is a sub-section titled "Existing and/or Legacy Systems". It states that there are a "large number of stored .tiff files." In other parts of the invitation, it seems that you are suggesting about 1 million in total. What is the average size of the TIFFs? What type of TIFF are they? Do the TIFFs currently contain some sort of index values that can be exported from the legacy system, i.e. in a comma delimited format?

Part of this question can be answered in question number 007. We do not have an average size of the TIFF files. There is an index used today for the legacy system. We do not know if it can be exported as comma delimited or not.

#### Question 012:

On Page 6 of the invitation under the section titled "Detailed Scope of Work", there is a sub-section titled "Existing and/or Legacy Systems". There is a "Note" listed stating that "Only information based on the Department's legacy optical document storage system will be given out. Any questions regarding this bid will not be honored." What does that mean? Is there a separate bid for the data migration? If there is a separate bid for the migration and pricing is provided with this response for that migration, as per the instructions, will that pricing be submitted for the other bid as well?

See question 006. There is no other bid for the data migration. Data migration will need to be addressed as part of this bid.

#### Question 013:

Under the EDMS requirements, scanning requirements are assigned. How many scanning stations will be required? How many scanners do you currently own, if any, that can be used for the new system? How many daily scans will be performed? Does the bid response require that scanners be quoted? If so, do you need color or duplex scanning? Are you expecting desktop scanning or scanning-station scanning or both? Do you expect to have any remote scanning done? Are you currently using any scanning software, i.e. Kofax? If so, are your current needs being met with that software, or will you require additional scanning licenses that should also be included? If you are using Kofax, are you open to changing scanning technology?

This is a compound question. Scanner hardware is not part of this bid. However, if the bidders system will not work with all types of scanners, then the cost of preparatory scanners must be included. The scanners used today by the department are either old, outdated (eight (8) units) or new single-page desktop models (20 or more units). Next: the department does not have any software like Kofax at this time. As for remote scanning, yes, the department has need to perform remote scanning.

#### Question 014:

What third-party software, besides GroupWise, if any, is being used with which either an immediate or future integration may be necessary, i.e. Peoplesoft, JD Edwards, Accela, Tidemark, Tiburon, etc.?

The department has its own developed software, known as O-TRACK. It runs on IBM's Informix.



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#### Question 015:

Regarding GroupWise, why is this department not moving forward with GroupWise without a bid process? Are you averse to selecting GroupWise? Is there a current contracting mechanism in place for you to buy GroupWise for this initiative, and are you simply choosing not to? When you refer to "Other areas" using GroupWise, what areas? Do you feel that GroupWise can meet the goals of the current initiative?

This question leads to the endorsement of a product. Therefore, as a state government, all we can say is, "We are looking for an electronic document storage and management system." GroupWise or Novell may bid as well.

#### Question 016:

Is there anything that would keep you from selecting a Microsoft centric technology?

No. As long as it can handle the workload needed.

#### Question 017:

Can you please provide a "functional" organizational chart for the department? It is not necessary to provide names of individuals. It is very helpful to building a proper response if we understand the organization and how many departments or departmental "areas" will be affected by the initiative.

The department is made up of four major groups, DIO, AP&P, Admin Services and UCI. DIO has the legacy system and shares data with AP&P as well as Admin Services. There are 28 offices covering the state made up of two prisons and one administration building, and the rest are AP&P offices consisting of day-reporting centers and such. There are 2,200 employees working seven days a week.

#### Question 018:

Is there a defined budget assigned AND allocated for this project? If so, in which fiscal year can the first funds be spent? What are the defining dates for the Department's fiscal year?

All funds are budgeted for this year ending June 30, 2004.

#### Question 019:

What functional types of files will be stored in the system, i.e. AP & AR items, criminal records and reports, HR documents, etc.?

Yes, all types. We fully plan to grow this to handle any type of electronic document.

#### Question 020:

While the invitation does stipulate that you expect the winning vendor to install the hardware, are you expecting the winning vendor to supply the hardware as well?

Yes, all hardware and software will need to be supplied. See question number 013 regarding scanners.

#### Question 021:

Are you expecting the "maintenance" agreement to provide support for the hardware as well?

Yes, all maintenance for hardware and software must be accounted for.



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#### Question 022:

While the invitation does not ask for an automated workflow product, are you considering workflow as any part of this initiative? What about electronic forms?

All of this is nice and will be reviewed, but for now, it is not required.

#### Question 023:

When the invitation refers to "online", are you expecting that the documents will be available to a public constituent base outside of the Department's firewall? Or, are you simply saying that you would like approved employees to be able to access documents in a thin client or web-based interface?

Other police agencies use our data outside of the department; such agencies include the FBI, city police and other background checking agencies.

#### Question 024:

Is the winning vendor expected to propose a disaster-recovery plan?

This is not part of the bid but may be added to the bid. If you plan to add such items, please show the cost without adding such items to the bottom-line amount.

#### Question 025:

Do you want a test/development environment included in the estimate?

Yes, the system needs to be able to support more than one environment or unrelated database.

#### Question 026:

In assembling the current invitation, have you discussed your plans with any other department of corrections that is not using GroupWise?

If you are talking about in the state of Utah, we are the only one. If you are talking about other states, then no we have not.

#### Question 027:

When you mentioned that the documents in GroupWise "will need to be incorporated" into the new system, do you mean that the other "areas" will continue to use GroupWise and users of the new system will have to access documents in GroupWise from the new system using an integration? Or, do you mean that the GroupWise documents must be migrated to the new system? If the latter, how many are there, and what types of documents are they? Do you plan to eliminate GroupWise from the other "areas"?

How your system works with GroupWise is one part of the bid we are hoping the bidder will tell us what they can do. As for what types of documents, for now it is mostly Microsoft Office, Adobe and some TIFF files that are stored in GroupWise.



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#### Question 028:

Of all of the "old" files that are being migrated to the new system, will they all need to be available "online"; or, are you looking to move them to a "near line" or "offline" availability status?

Online is best. We are hoping to move all of the department's documents to an online format.

#### Question 029:

In the Bid process, would you like us to provide a price bid for the Network Hardware part of the proposal, or would you just like us to provide recommended specifications for what Network Hardware is needed? If you would like a price bid for Network Hardware, please specify what Hardware you would like us to bid on.

All you will need to include in the bid is the Network card for the hardware needed to host your software. The department has a TCP/IP 10/100 Mg or 1 Gig Cisco switch LAN in place.

#### Question 030:

What are the criteria the Department will use for deciding which bid to accept?

Refer to Page 9 of the bid.

#### Question 031:

After receiving the Bids, what will be the process for moving forward in the decision process?

Refer to the first three pages of the bid.

#### Question 032:

What is largest format of the documents to be scanned? (8.5 x 11, 8.5 x 14, etc.) Legacy system information:

The largest document scanned to date is U.S. Letter size (8.5" x 11"). Note that as we add more bureaus to the system, larger documents may be encountered -- 8.5" x 14" or larger.

#### Question 033:

What programs are presently being used to access the database information?

Microsoft Office 2000, Novell GroupWise, and a few other small desktop applications.

#### Question 034:

Historically, how many papers per document are being scanned each month?

I do not have a count of the number of pages, but I do know we have two or three full-time employees scanning and working the system.



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#### Question 035:

Are they being retained in any format other than 200 DPI Black & White (i.e. color, grayscale, higher resolution, etc.)

Yes, we are doing all formats.

#### Question 036:

What is the desired/required retention period for the current 1 million+ TIFF images.

Some files have a "live hold" and others are "time served". A lot of the "time to hold" is set by the courts.

#### Question 037:

If you are using WORM optical platters, do you have a working drive that can read them?

Yes.

#### Question 038:

What is your definition of "File Locking"?

This is to prevent anyone from changing the file. New versions of the file can be saved and tracked, but the original must be protected from change.

#### Question 039:

Would you please list some typical-use cases of the existing document management system? With each of those use cases, would you please comment on what you consider deficiencies the existing system?

I am at a loss with this question. We need to store and retrieve documents as needed with our computers. Make changes, add, print, review and save.

#### Question 040:

How many image files exactly are currently in the legacy system?

The system is growing daily. We are planning on two million by December 2005.

#### Question 041:

What kind of header is used?

I am not sure; the system is an old Plexus system.

#### Question 042:

How are you currently getting images into the legacy system?

At this time, we are scanning with old, out-dated scanners, for which we cannot order parts.





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#### Question 043:

Of the one million TIFF images that need to be converted, how many indices per image will be converted?

We are hoping to build all new ones, so most of the indices will not be converted.

#### Question 044:

Page 6, Para 16 (c) 1) states "Compatible with most systems from the small single hand laid copiers". Should copiers read scanners? And by single hand laid, do you mean that there is no stack feeder?

Yes, some have no auto feeder, but others do.

#### Question 045:

Are these one million TIFF images all letter size (8 ½ X 11) or varying sizes? If so what is the break-down by size.

All sizes. I do not have a breakdown.

#### Question 046:

Can the vendor take the media off-site to do the conversion, or does all work need to be done on site?

The data is used every day. In order to remove the data from the site, copies will need to be made. Due to the nature of the data, a confidentiality agreement will need to be met between the department of corrections and the bidder.

#### Question 047:

Can more information be provided as to what is required to meet "Security is a big factor when storing documents in a prison system. Therefore, the heightened concerns of the prison environment must be addressed."

Security is the most important component to a prison. This statement is to show that the bid needs to prove that its security will stand from outside and inside attacks and protect the data.

#### Question 048:

Please describe GUI widgets that the technician would want to define/modify.

Many users' screens supplied for document-storage systems allow the deploying team to customize the look of the screen, including what is displayed and what is not. This can be useful when some screens might be within viewing range of inmates.

#### Question 049:

What will be the award date of this Solicitation? If you do not have a specific date, then a ballpark date will do.

Our plan is to have it in place by July 2004.



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#### Question 050:

Novell GroupWise is mentioned as a possible integration component. Is this limited to integration with e-mail, or is additional integration desired? Please describe the e-mail (or other) integration desired.

At this time, GroupWise is planned as the only other database. Nevertheless, our O-TRACK database may someday be added.

#### Question 051:

Are you required to provide document accessibility and integrity over the life of the record?

Yes, many of the records will run for 100 years or more.

#### Question 052:

In the Software Section, you state under Database - SQL (preferred), Novell or Microsoft. Does this mean Microsoft SQL or any SQL database that runs on either Novell or Microsoft? If Oracle is available, is this a preferred database or one you would want to stay away from?

Yes, we have both Microsoft and Novell-based SQL running. If Oracle is used, the cost of licensing and some training will need to be added to the bid.

#### Question 053:

Section TECHNICAL REQUIREMENTS AND COMPANY QUALIFICATIONS, Hardware, Software, Users, Pages 4 & 5, Section # 3 Users Question 1: You provide High & Low estimates for User Functions; should the bid include pricing for each level?

This is given as a guideline for estimating the workload and number of users, as well as the number of licenses needed under a variety of levels.

#### Question 054:

Section TECHNICAL REQUIREMENTS AND COMPANY QUALIFICATIONS, Electronic Document Storage and Management system requirements, Page 5 9<sup>th</sup>] Notification on file activity...Ability to e-mail when files are opened, changed or saved. Are you requesting the system to notify the Administrator for each of these events, and do you require a report of same?

We are asking for the ability to be notified if anyone acts on a file. This needs to be set per file and per group of files. It is the preference of the department that notification is done by e-mail. GroupWise is the e-mail program used by the State of Utah and would be the e-mail system preferred.

#### Question 055:

##### FORMAL BID FORM:

The Formal Bid Form does not allow for pricing levels to incorporate detail; should we use a "mid-range" pricing level for that form or should we assume the low- or high-range level to respond?

Put the cost to implement the system, meeting all requirements on the "Formal Bid Form"; then attach more pages as needed to show details. Remember, the bids will be opened after they have been reviewed by the



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committee, and then only the lowest bid will receive the contract. The "Formal Bid Form" is not going to be used by the committee as part of the review.

#### Question 056:

The Invitation to Bid indicates there will be two types of training: a) IT staff and b) super users. How big is the IT staff (that is number of people)? How many super users are they planning on training?

The number of IT staff needing training will be from 4 to 16 depending on what OS, software and hardware is used.

For super users, the department has 2,200 employees on five shifts working around the clock; the amount of training needed will be determined by the number of super users.

#### Question 057:

Does the system require integration with an LDAP Directory?

With the number of users needing access, it becomes a workload issue for the IT department if LDAP is not used. In addition, most users do not like to log in to a number of different programs.

#### Question 058:

Should the system be able to natively store office documents such as Word, Excel and .pdf files directly into the content management repository?

Yes, it would be best if all documents were stored in native format.

#### Question 059:

Beside the potential HIPAA requirements, are there any State of Utah requirements that must be met?

No, there are no state requirements that must be met.

Questions to this point were sent in on Friday.

#### Question 060:

If any single concurrent license could be configured as Read/Print, Full Rights, Administrative, or Web access, how many concurrent licenses would be needed?

Page 5 of the bid has the numbers to be used for licenses. What we are trying to say is if you are looking at the number of Read and Print licenses, then use 250 concurrent or 500 named. By named, we are saying, one license per user. If you need to know the number of Web Access licenses, then use 1200 concurrent. Each line on this part of the bid will stand on its own. We are not implying that we need all of the licenses reported here, just any line that works with your licensing schema.

#### Question 061:

Is it important to be able to handle administrative functions via Web interface?

No, this would be nice, but it is not a requirement of the bid.



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#### Question 062:

When you talk of permanent redactions to image files, is it really your intention to allow permanent alteration to archived files? Redactions are usually stored as security-controlled overlays, not actually altering the archived image file.

Files may be stored with redaction overlays, but if the file is electronically sent out by e-mail or some other media, it needs to become part of the document and not just an overlay.

#### Question 063:

Would Bar-code recognition and zone-OCR automatic indexing features be preferable?

Yes, the scanner software will need to have both bar code and OCR ability.

#### Question 064:

Is scanning hardware part of another bid? Or should it be a consideration in this bid? Is there a desire to use your existing optical storage device for future image storage? If these answers create more questions, will we have an opportunity to ask them?

Question 013 deals with this; however, I would like to address the last part of this question regarding the opportunity to ask more questions. At this time, we are not planning on opening up any more time for asking questions.

#### Question 065:

Are you going to replace the existing imaging machines, imaging software etc.? Or are you simply looking to upgrade the existing imaging software to latest versions?

The possibility of upgrading the existing imaging system has been talked about by the department. This bid is to replace the old system with a completely new one. If you would like to bid based on upgrading only, it would not be fair to the other bidders. Therefore, we are only looking for full replacement costs of the systems.

#### Question 066:

Would you provide a list of all recipients who received a copy of this RFP?

No, we are not planning to make the other bidders' names public at any time during the bid process.

#### Question 067:

Will there be a short list and demo process before selecting a winner? Or will you simply choose a potential pool of qualified vendors to be on this contract for departments to choose from?

At this time, we are not planning on any demo process. We will just award the bid and install the system.

#### Question 068:

Is this project budgeted? If so, can you say how much?

Question 018 explains where we are on the budget. As for the how much, we are not releasing that information.

End of Question and Answers for Multi-Bid Number GM4049